PATENT

Case Docket No. SNAPA.024A

Date: February 21, 2003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants	:	Thomas R. Ulrich, et al.
Appl. No.	:	10/060,908
Filed	:	January 29, 2002
For	:	REPLACING FILE SYSTEM PROCESSORS BY HOT SWAPPING
Examiner	:	Unknown
Group Art Unit :		2176

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I hereby certify that this correspondence and all marked attachments are being deposited with the United States Postal Service as first class mail in an envelope addressed to: United States Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202, on

2/21/03
(Date)

John R. King

John R. King, Reg. No. 34,362

TRANSMITTAL LETTER

United States Patent and Trademark Office
P.O. Box 2327
Arlington, VA 22202

Dear Sir:

Enclosed for filing in the above-identified application are:

(X)   A Supplemental Information Disclosure Statement.

(X)   A PTO Form 1449 with fifty six (56) references.

(X)   The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Account No. 11-1410.

(X)   Return prepaid postcard.

John R. King

John R. King
Registration No. 34,362
Attorney of Record
Customer No. 20,995
(949) 760-0404

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SUPPLEMEMTAL INFORMATION DISCLOSURE STATEMENT

United States Patent and Trademark Office
P.O. Box 2327
Arlington, VA 22202

Dear Sir:

Enclosed is form PTO-1449 listing fifty six references that are also enclosed. This Supplemental Information Disclosure Statement is being filed before the receipt of a first Office Action on the merits, and presumably no fee is required in accordance with 37 C.F.R. § 1.97(b)(3). If a first Office Action on the merits was mailed before the mailing date of this Statement, the Commissioner is authorized to charge the fee set forth in 37 C.F.R. § 1.17(p) to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 2/21/03

By: John R. King
John R. King
Registration No. 34,362
Attorney of Record
Customer No. 20,995
(949) 760-0404

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. SNAPA.024A	APPLICATION NO. 10/060,908
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)	APPLICANT Thomas R. Ulrich, et al.	
	FILING DATE January 29, 2002	GROUP 2176

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U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	1	5,355,453	10/11/94	Row et al.			
	2	5,388,231	02/07/95	Starr			
	3	5,485,579	01/16/96	Hitz et al.			
	4	5,513,314	04/30/96	Kandasamy et al.			
	5	5,701,516	12/23/97	Cheng et al.			
	6	5,802,366	09/01/98	Row et al.			
	7	5,819,292	10/06/98	Hitz et al.			
	8	5,862,312	01/19/99	Mann et al.			
	9	5,941,969	08/24/99	Ram et al.			
	10	5,948,110	09/07/99	Hitz et al.			
	11	5,950,225	09/07/99	Kleiman			
	12	5,963,962	10/05/99	Hitz et al.			
	13	5,996,089	11/30/99	Mann et al.			
	14	6,029,168	02/22/00	Frey			
	15	6,038,570	03/14/00	Hitz et al.			
	16	6,065,037	05/16/00	Hitz et al.			
	17	6,081,883	06/27/00	Popelka et al.			
	18	6,119,244	09/12/00	Schoenthal et al.			
	19	6,148,414	11/14/00	Brown et al.			

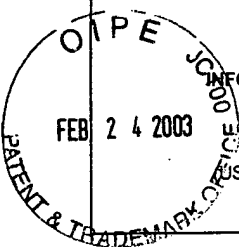| FOREIGN PATENT DOCUMENTS								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

EXAMINER INITIAL		OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
	20	Microsoft Knowledge Base Article -222189; Description of Disk Groups in Windows Disk Management, pgs. 1-5.
	21	The Network Appliance Enterprise Storage Architecture: System and Data Availability TR 3065 by Michael J. Marchi & Andy Watson, Network Appliance, Inc., pgs. 1-10.

EXAMINER	DATE CONSIDERED

*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

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EXAMINER INITIAL		OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
	22	SnapMirror and SnapRestore: Advances in Snapshot Technology by Keith Brown, Jeff Katcher, Rex Walters & Andy Watson, Network Appliance, Inc., pgs. 1-15.
	23	SecureShare™: Guaranteed Multiprotocol File Locking by Keith Brown & Andrea Borr, Network Appliance, Inc., pgs. 1-17.
	24	File System Security: Secure Network Data Sharing for NT and UNIX by Bridget Allison, Robert Hawley, Andrea Borr, Mark Muhlestein & David Hitz, Network Appliance, Inc., pgs. 1-12.
	25	Data Protection Strategies for Network Appliance Filers by Jay Desai, Grant Melvin, David Yu, Mike Federwisch, Network Appliance, Inc., pgs. 1-32.
	26	Multiple Volumes and Multiple RAID Groups on NetApp Filers by Karl L. Swartz, Network Appliance, Inc., pgs. 1-9.
	27	Windows® 2000 and NetApp® Filers: An Overview TR 3113 by John Phillips, Network Appliance, Inc., pgs. 1-6.
	28	Integrating NetApp® Filers with the Microsoft® Active Directory TR 3124 by John Phillips, Network Appliance, Inc., pgs. 1-10.
	29	CIFS Authentication and Security TR3020 by Bridget Allison, Network Appliance, Inc., pgs. 1-7.
	30	High Availability Storage Appliance TR 3127 by Jim Helfrich, Network Appliance Inc., pgs. 1-8.
	31	SnapMirror and SnapRestore: Advances in Snapshot Technology TR 3043 by Keith Brown, Jeff Katcher, Rex Walters & Andy Watson, Network Appliance, Inc., pgs. 1-14.
	32	Merging NT and UNIX Filesystem Permissions TR 1005 by Bridget Allison, Robert Hawley, Andrea Borr, Mark Muhlestein & David Hitz, Network Appliance, Inc., pgs. 1-13.
	33	File System Design for an NFS File Server Appliance TR3002 by Dave Hitz, James Lau, & Michael Malcolm, Network Appliance, Inc., pgs. 1-10.
	34	SecureShare™¹ Safe UNIX/Windows File Sharing through Multiprotocol Locking by Andrea Borr, pgs. 1-16.
	35	Soft Updates: A Solution to the Metadata Update Problem in File Systems by Gregory R. Ganger, Marshall Kirk McKusick, Craig A. N. Soules and Yale N. Patt, pgs 1-27.
	36	Soft Updates: A Technique for Eliminating Most Synchronous Writes in the Fast Filesystem by Marshall Kirk McKusick and Gregory R. Ganger, pgs. 1-18.
	37	Journaling Versus Soft Updates: Asynchronous Meta-Data Protection In File Systems by Margo I. Seltzer, Gregory R. Ganger, M. Kirk McKusick, Keith A. Smith, Craig A. N. Soules, and Christopher A. Stein, pgs. 1-15.
	38	Exploring SMB by Andrew Tridgell, May 8, 2000, pgs. 1-6.
	39	Transactions and Recovery File Systems & Databases; Anupam Bhide, CalSoft Private Limited, 22 Gaurishankar, Shivaji Housing Society, Off Senapati Bapat Road PUNE, pgs. 1-24.
	40	Storage Resource Management Requirements for Disk Storage by John Tyrrell, Mich Dutch and Steve Terwilliger, pgs. 1-26.
	41	IBM StorageTank™, A Distributed Storage System by D.A. Pease, R.M. Rees, W.C. Hineman, D.L. Plantenberg, R.A. Becker-Szendy, R. Ananthanarayanan, M. Sivan-Zimet, C.J. Sullivan: IBM Almaden Research Center; R.C. Burns: Johns Hopkins University; D.D.E. Long: University of California, Santa Cruz, January 23, 2002, pgs. 1-7.
	42	Storage Tank, Randal Burns; Storage Systems and Servers, IBM Almaden Research Center by Robert Rees, David Pease, Wayne Hineman, Michael Penner and Darrell Long, pgs. 1-44.
	43	Storage Tank, IBM Almaden Research Center by Bob Rees, David Pease, Randal Burns and Jai Menon, pgs. 1-7.

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EXAMINER INITIAL		OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
	44	Semi-Preemptible Locks for a Distributed File System by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-8.
	45	Scalable Session Locking for a Distributed File System by Randal C. Burns, Robert M. Rees, Larry J. Stockmeyer and Darrell D. E. Long, pgs. 1-25.
	46	Consistency and Locking for Distributing Updates to Web Servers Using a File System by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-7.
	47	Efficiently Distributing Data in a Web Server Farm by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-11.
	48	An Analytical Study of Opportunistic Lease Renewal by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-8.
	49	Safe Caching in a Distributed File System for Network Attached Storage by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-8.
	50	A Bit-Parallel Search Algorithm for Allocating Free Space by Randal Burns and Wayne Hineman, pgs. 1-9.
	51	Date Management in a Distributed File System for Storage Area Networks by Randal Chilton Burns, March 2000, pgs. 1-161.
	52	Common Internet File System (CIFS) Version: CIFS-Spec 0.9, Draft SNIA CIFS Work Group Work-in-Progress, Revision Date: 3/26/2001, pgs. 1-126.
	53	Serverless Network File Systems, Copyright © 1995 by Michael Donald Dahlin, pgs. 1-177.
	54	Solaris Internals, Core Kernel Components; Sun Microsystems Press, A Prentice Hall Title, by Jim Mauro and Richard McDougall, pgs. 1-116.
	55	Unix Internals, The New Frontiers by Uresh Vahalia, EMC Corporation, Hopkinton, MA, Prentice Hall, Upper Saddle River, New Jersey 07458, pgs. 1-151.
	56	NFS Illustrated, An Imprint of Addison Wesley Longman, Inc., by Brent Callaghan, pgs. 1-120.

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